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Louella Alabardo

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor:

Anil Suri

Serial No.:

10/077,611

Filed:

February 15, 2002

For:

METHOD AND SYSTEM FOR THE MANAGEMENT OF

STRUCTURED COMMODITY TRANSACTIONS AND TRADING

OF RELATED FINANCIAL PRODUCTS

Docket No.:

103753-203-NP

Group Art Unit: 2161

## **INFORMATION DISCLOSURE STATEMENT**

Assistant Commissioner for Patents Washington, DC 20231

Dear Sir:

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GROUP 3600

Under the provisions of 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicants bring to the attention of the Examiner the documents listed on the attached PTO/SB/08 (substitute for form 1449/PTO). Copies of the listed documents are enclosed.

Each item of the information contained in this Information Disclosure Statement was cited in the International Search Report (ISR) issued on January 17, 2003 in the corresponding PCT application no. PCT/US02/10861. A copy of the ISR is enclosed. Applicants respectfully request that the Examiner consider the listed documents and indicate that they were considered by making appropriate notations on the attached form.

This Information Disclosure Statement is being filed within three months from the mailing date of the ISR, and therefore no fee is necessary.

Eve Ton

Reg. No. 46,406

Goodwin Procter LLP

Respectfully submitted.

7 Becker Farm Road Roseland, NJ 07068

(973) 992-1990

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Please type a plus sign (+) inside this box → \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \	Approv U.S. Patent and Tradema	PTO/SB/08A (08-00) ed for use through 10/31/2002. OMB 0651-0031 ark Office: U.S. DEPARTMENT OF COMMERCE					
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INFORMATION DISCLOSURE	Filing Date	February 15, 2002					
STATEMENT BY APPLICANT	First Named Inventor	Anil Suri					
	Group Art Unit	2161					
(use as many sheets as necessary)	Examiner Name						
Sheet 1 of 1	Attorney Docket Number	103753-203-NP					

	U.S. PATENT DOCUMENTS							
xaminer nitials'	Cite No.1	U.S. Patent Number	Cocument  Kind Code <sup>2</sup> (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear		
	1	5,794,212		Mistr, Jr.	08-11-1998			
	2	6,115,698		Tuck et al.	09-05-2000			
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	Cite		oreign Patent Do	cument Kind Code <sup>5</sup>	Name of Patentee or	Date of Publication of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear		
	No.1	Office <sup>3</sup>	Number <sup>4</sup>	(if known)	Applicant of Cited Document	MM-DD-YYYY		T6	
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<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.